

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Jeff S. EDER

Application No. 10/046,094

Group Art Unit: 3692

Filed: January 16, 2002

Examiner: Sigfried Chencinski

For: SYSTEM FOR INTEGRATING ENTERPRISE PERFORMANCE MANAGEMENT

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendments
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO - 1449 and/or Substitute Form PTO - 1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☐ within any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1,491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- ☒ after (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes one of:
- ☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below)
- or
- ☒ the fee of \$180 set forth in 37 CFR 1, 1 7 (p) (see "Fees" below).
- ☐ after the mailing date of a final action under 37 CFR 1. 113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(c) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 3 7 CFR 1. 1 7(p) (see "Fees" below).
- ☐ after the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and within thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.1 7(p) (see "Fees" below). NOTE,. This is for original applications except applications for a design patent filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

Copies of the References

- ☒ Copies of all of the references listed on the enclosed Form 1449 are enclosed herewith.
- ☐ This patent application was filed after June 30, 2003. Accordingly, copies of U.S. patents and patent applications that are listed on the accompanying Form 1449 are not enclosed herewith (see Official Gazette Notice of August 5, 2003). Copies of other references identified on the accompanying Form 1449 are enclosed herewith.

☐ Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).

☐ A copy of the foreign search report is enclosed herewith.

☐ Many of the references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status (<i>check one</i>)		
U.S. APPLICATIONS	U.S. Filing Date	PATENTED	PENDING	ABANDONED
1.				
2.				
3.				

Statement under 37 CFR 1.97(e)

☐ The undersigned hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.

☐ The undersigned hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

Statement under 37 CFR 1.704(d)

- ☐ The undersigned hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Fees

- ☐ No fee is owed by the assignee(s).
- ☒ The IDS Fee of \$180 under 37 CFR 1.17(p) is enclosed herewith.

The Assignee respectfully requests consideration of the instant application with the information disclosure statement attached herewith.

Respectfully submitted,

/B.J. Bennett/

B.J. Bennett, President Asset Trust, Inc.

Date: August 9, 2007

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT***(Use as many sheets as necessary)***Complete if Known**

Application Number	10/046,094
Filing Date	01/16/2002
First Named Inventor	Jeff S. Eder
Art Unit	3692
Examiner Name	Sigfried Chencinski
Attorney Docket Number	AR - 44

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of

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	1	ZIPP, ALAN S.; Business valuation methods; 1993, pages 1 - 218, AICPA, U.S.A.	
	2	DAVIDOW, WILLIAM; Accounting systems are completely wrong, Red Herring, January 1, 1995, pages 1 - 3, Red Herring, U.S.A.	
	3	MCTAGGERT, JAMES, KONTES, PETER AND MANKINS, MICHAEL, The value imperative, 1994, pages 1 - 350, The Free Press, U.S.A.	
	4	RAPPAPORT, ALFRED; Creating shareholder value; 1986 & 1998, pages 1 - 195, The Free Press, U.S.A.	
	5	RITCHKEN, PETER, Options, Theory, Strategy and Applications, 1987, pages 1 - 407, Foresman and Company, U.S.A.	
	6	DIXIT, AVINASH & PINDYCK, ROBERT; Investment under uncertainty; 1994; pages 3 - 444, Princeton University Press, U.S.A.	
	7	GARSON, DAVID; Interpreting neural network connection weights, 4/1/1991, pages 47 - 51, AI Expert, U.S.A.	
	8	WELLSTEAD, STEPHEN; Neural network and fuzzy logic applications in C/C++; 1994; pages 3 - 447, John Wiley & Sons, U.S.A.	
	9	MOST, KENNETH; Accounting theory; 1977, pages 1 - 348, Grid, Inc., U.S.A.	
	10	HENDRIKSEN, ELDEN, Accounting theory, 1982, pages 1 - 524, Richard D. Irwin, U.S.A.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, Washington, DC 20231.**

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	11	KULKARNI, ARUN; Artificial neural networks for image understanding; 1994; pages 1 - 204, Van Norstrand Reinhold, U.S.A.	
	12	WARD SYSTEMS GROUP; NeuroWindows User Manual; July 1993; pages 1-1 to A4 - 2, Ward Systems Group, U.S.A.	
	13	BREALEY, RICHARD & MYERS, STEWART; Principles of Corporate Finance; 1991; pages 1 - 741, McGraw Hill, U.S.A.	
	14	FAULKNER, TERRENCE; Applying options thinking to R&D valuation; May/June 1996; pages 50 - 56, Research Technology Management, U.S.A.	
	15	MILLER, MERTON & MODIGLIANI, FRANCO, Dividend policy, growth and the valuation of shares, October 1961, pages 411 - 433, V34, The Journal of Business, U.S.A.	
	16	SIMENSKY, MELVIN & BRYER, LANNING; The new role of intellectual property in commercial transactions, 1994, pages 1 - 572, John Wiley & Sons, U.S.A.	
	17	WILSON, ALBERT, Emerging approaches to impaired property valuation, April 1996, pages 155 - 170, V64, Appraisal Journal, U.S.A.	
	18	BROWN, GORDON T, Free cash flow appraisal, a better way, April 1996, pages 171 - 182, V64, Appraisal Journal, U.S.A.	
	19	BUSINESS EDITORS & REAL ESTATE INDUSTRY WRITERS, EQK Realty Investors I, 4/2/1992, pages 1 - 3, Press Release, U.S.A.	
	20	SWAD, RANDY, Business valuation, applicable standards for CPA's, September 1995, pages 38 - 43, V65, CPA Journal, U.S.A.	

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First Named Inventor	Jeff S. Eder
Art Unit	3692
Examiner Name	Sigfried Chencinski
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	21	REILLY, ROBERT; Valuation of intangibles for bankruptcy and reorganization purposes; August 1994; pages 25 - 30, V53, Ohio CPA Journal, U.S.A.	
	22	LIEBICH, KIM; How to value a bank; August 1995; pages 21 - 25, V87, ABA Banking Journal, U.S.A.	
	23	BAUMANN, BARBARA H & OXAAL, MARJORIE R; Estimating the value of a group medical practice, a primer; December 1993, pages 58 - 65, V47, Healthcare Financial Management, U.S.A.	
	24	MAXSON, MARK; Will you get your money's worth?, May/June 1993, pages 54 - 58, V9, Financial Executive, U.S.A.	
	25	FRIEDMAN, RICHARD; Business valuation: calculating it right; October 1994; pages 34 - 39, V10, The Practical Accountant, U.S.A.	
	26	MULLEN, MAGGIE; How to value intangibles; November 1993; pages 92 - 94, V112, Accountancy, U.K.	
	27	STEWART, THOMAS; Trying to grasp the intangible; October 2, 1995, pages 157 - 159, V132, Fortune, U.S.A.	
	28	OUROSOFF, ALEXANDRA; What the world's top brands are worth; September 1, 1992; pages 33 - 49, Finance World, U.S.A.	
	29	PHILLIPS BUSINESS INFORMATION, INC.; Five ways to reduce risk with neural networks; 9/27/1993; V3, Credit Risk Management Report, Philips Business Information	
	30	LIPPITT, JEFFREY & MASTRACCHIO, NICHOLAS; Developing capitalization rates for valuing a business, November 1995, pages 24 - 28, V65, The CPA Journal, U.S.A.	

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**INFORMATION DISCLOSURE
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Application Number	10/166,758
Filing Date	06/12/2002
First Named Inventor	Jeff S. Eder
Art Unit	3623
Examiner Name	Sigfried Chencinski
Attorney Docket Number	AR - 44

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	31	HIRSCH, A. ETHAN, What's it worth?, December 21, 1992, page 16, V6, Accounting Today, U.S.A.	
	32	MYERS, STEWART & HOWE, CHRISTOPHER; A life-cycle financial model of Pharmaceutical R&D; April 1997; pages 1 - 38, MIT Sloan School of Management, USA	
	33	SIMON, CAROL J. & SULLIVAN, MARY W.; The Measurement and Determinants of Brand Equity; Winter 1993; pages 28 - 52, V12, Marketing Science, U.S.A.	
	34	SVEIBY, KARL & MELLANDER, KLAS; Tango Learning Guide Version 2.1; 1994; pages 4 - 30, Celemi, Sweden	
	35	KAUFMAN, J. JERRY; Value Management; 1998; pages 1 - 90, Crisp Publications, U.S.A.	
	36	HBS Press; Harvard Business Review on Measuring Corporate Performance; 1998; pages 1 - 216, HBS Press, U.S.A.	
	37	KAPLAN, ROBERT & NORTON, DAVID; The Balanced Scorecard; 1996; pages 1 - 311, HBS Press, U.S.A.	
	38	MORRIS, HENRY; Extending the Business Process, October 6, 1998, slides 1 - 20, IDC Presentation, San Francisco, CA, U.S.A.	
	39	AMIR, ELI; & LEV, BARUCH, "Value-relevance of non-financial information", August - December 1996, pages 3 - 30, Journal of Accounting and Economics, U.S.A.	
	40	ERNST & YOUNG, Measures that Matter, 1997, pages 1 - 16, Ernst & Young Center for Business Innovation, U.S.A.	

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		First Named Inventor	Jeff S. Eder	
		Art Unit	3692	
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	41	BOUQUET, PAOLO, SEARAFINI, LUCIANO, et al; Modeling and Using Context - Context 1999, 1999, pages 1 - 526, Springer, Germany	
	42	AKMAN, VAROL, BOUQUET, PAOLO, et al; Modeling and Using Context - Context 2001, 2001, pages 1 - 469, Springer, Germany	
	43	KUEHNE, SVEN, et al, "SEQL: Category learning as progressive abstraction using structure mapping", August 2000, pages 770 - 775, Proceedings of 22nd Annual Cognitive Science Conference Philadelphia, PA, U.S.A.	
	44	FRANKE, JURGEN, HARDLE, WOLFGANG, et al; Measuring Risk in Complex Stochastic Systems; 2000, pages 1 - 255, Springer, U.S.A.	
	45	SHIMPI, PRAKASH, Integrating Corporate Risk Management, 1999 & 2001, pages 3 - 266, Texere, LLC, U.S.A.	
	46	BREWKA, GERHARD, Principles of Knowledge Representation, 1996, pages 1 -311, CSLI Publications, Stanford University, U.S.A.	
	47	REITER, RAYMOND, Knowledge in Action, 2001, pages 1 - 418, MIT Press, U.S.A.	
	48	TISSSEN, RENE, ANDRIESSEN, DANIEL, et al; The Knowledge Dividend, 2000, pages 3 - 258, Prentice Hall, U.K.	
	49	BROWN, JOHN SEELY, et al, "Loosening up: How process networks unlock the power of specialization, 2002, pages 59 - 69, McKinsey Quarterly Special Edition, McKinsey, USA	
	50	BLYTHE, JIM, "An Integrated Environment for Knowledge Acquisition", 2001, pages 13 - 20, Proceedings International Conference on Intelligent User Interfaces, ACM, U.S.A.	

Examiner Signature		Date Considered	
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	51	KOLLER, TIMOTHY, "What is value based management", 3rd Quarter 1994, pages 87 - 101, McKinsey Quarterly, McKinsey, U.S.A.	
	52	BROWN, CAROL; COAKLEY, JAMES; PHILLIPS, MARY ELLEN, "Neural Networks Enter World of Mgmt Accounting, May 1995, pages 51 - 57, V76, Management Accounting, US	
	53	BIELINSKI, DANIEL, "How to sort out the premium drivers of post deal value", July/August 1993, pages 33 - 37, V28, Mergers & Acquisitions, U.S.A.	
	54	BERGSTROM, PETER; KIMBER ELIOT, "Formal data models for SGML and HyTime", March 1999, pp. 271-287, XML Europe 1999 Conference Proceedings, Granada, Spain	
	55	HAROLD, ELLIOTTE, XML Bible, 1999, pages 3 - 15, IDG Books, U.S.A.	
	56	KNIGHT, JAMES, Value Based Management, 1998, pages 1 - 301, McGraw Hill, U.S.A.	
	57	NEUROSOLUTIONS, Application Summaries from web site, April 1999	
	58	COPELAND, TOM, KOLLER, TIM, MURRIN, JACK, Valuation, 1990, pages 1 - 413, John Wiley and Sons, U.S.A.	
	59	BROWN, CAROLYN, PHILLIPS, MARY ELLEN, Expert Systems for Management Accounting Tasks, 1995, pages 1 - 204, IMA Foundation, U.S.A.	
	60	Anonymous, "Survey: Too Clever by Half", January 24, 2004, page 12, V370, The Economist, U.K.	

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	61	CULP, CHRISTOPHER et al, "Value at Risk for Asset Managers", Derivatives Quarterly, January 8, 1999, pages 22 - 33, V 5, New York, U.S.A.	
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		Application Number	10/046,094	
		Filing Date	01/16/2002	
		First Named Inventor	Jeff S. Eder	
		Art Unit	3692	
		Examiner Name	Sigfried Chencinski	
Sheet		of	Attorney Docket Number	AR - 44

NON PATENT LITERATURE DOCUMENTS			
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Application Number	10/046,094
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First Named Inventor	Jeff S. Eder
Art Unit	3692
Examiner Name	Sigfried Chencinski
Attorney Docket Number	AR - 44

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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
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Complete if Known

Application Number	10/046,094
Filing Date	01/16/2002
First Named Inventor	Jeff S. Eder
Art Unit	3692
Examiner Name	Sigfried Chencinski
Attorney Docket Number	AR - 44

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